STATE OF ILLINOIS SECRETARY OF STATE SECURITIES DEPARTMENT

IN THE MATTER OF: DAWN S. HINES, CRD # 5042637

) File No. 1400572

CONSENT ORDER

TO THE RESPONDENT:

Dawn S. Hines

c/o Bradley B. Wilson, Esq. Gates Wise Schlosser & Goebel

1231 S. Eighth St. Springfield, IL 62703

WHEREAS, the Respondent, Dawn S. Hines, on June 16, 2015 executed a certain Stipulation to Entry of Consent Order (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, the Respondent has admitted to the jurisdiction of the Secretary of State, service of the Notice of Hearing in this matter, and consented to the entry of this Consent Order.

WHEREAS, the Secretary of State, by and through his designated representative, the Securities Director, has determined that the matter related to the aforesaid formal hearing may be dismissed without further proceeding.

WHEREAS, the Respondent has acknowledged that the allegations contained in paragraph VII of the Stipulation shall be adopted as the Secretary of State's Findings of Fact as follows:

- 1. At all relevant times, the Respondent was registered with the Secretary of State as a salesperson in the State of Illinois pursuant to Section 8 of the Act.
- 2. Respondent is currently a Registered Representative of State Farm VP Management Corp., a dealer registered in the State of Illinois pursuant to Section 8 of the Act.
- 3. On or about September 11, 2014, the Illinois Department of Revenue sent a Collection Action and Notice of Intent letter to Respondent's home address. The letter advised that, if the Respondent did not resolve her debt owed to the Department of Revenue, her salesperson license would be suspended and provided contact information for the Department of Revenue.

- 4. On or about January 8, 2015, the Office of the Secretary of State, Illinois Securities Department sent a letter to the Respondent via certified mail notifying the Respondent that she had failed to effectively respond to the Department of Revenue and warning of the possible negative effect on her registration. Respondent was required to explain the situation, and Respondent's efforts to resolve it, in a notarized affidavit to the Securities Department within 10 business days of the date on which the letter was delivered.
- 5. On January 12, 2015, the certified letter was delivered to Respondent's office.
- 6. On January 28, 2015, the Securities Department sent a fax to Respondent's office, informing Respondent that she had failed to respond to the Securities Department letter within 10 business days of receipt of the letter and warning that enforcement action would be taken if her affidavit was not delivered by January 30, 2015.
- 7. On February 2, 2015, the Securities Department issued a Notice of Hearing.
- 8. On May 14, 2015, Respondent provided the affidavit to the Securities Department.
- 9. On June 15, 2015, Respondent reached an agreement with the Department of Revenue.
- 10. Section 12.D of the Act provides, inter alia, that it shall be a violation of the provisions of the Act for any person to fail to file with the Secretary of State any application, report, or document required to be filed under the provisions of the Act or any rule or regulation made by the Secretary of State pursuant to the Act.
- 11. Section 8.E(1)(g) of the Act provides that the registration of a salesperson may be suspended or revoked if the salesperson has violated any of the provisions of this Act.
- 12. Section 8.E(1)(0) provides that the registration of a salesperson may be denied, suspended or revoked if the Secretary of State finds that such salesperson has failed to file a return, or to pay the tax, penalty or interest shown in a filed return, or to pay any final assessment of tax, penalty or interest, as required by any Act administered by the Illinois Department of Revenue, until such time as the requirements of that Act are satisfied.
- 13. Section 11.E(4) of the Act provides, *inter alia*, that the Secretary of State, after finding that any provision of the Act has been violated, may issue an order of censure, charge costs of investigation, and impose a fine not to exceed \$10,000 for each violation of the Act.

14. Section 11.F(1) of the Act provides, *inter alia*, that the Secretary of State may suspend or revoke the registration of a salesperson and impose a fine for violation of the Act after an opportunity for hearing upon not less than 10 days notice given by personal service or registered mail or certified mail, return receipt requested, to the person or persons concerned.

WHEREAS, the Respondent has acknowledged that the allegations contained in paragraph VIII of the Stipulation shall be adopted as the Secretary of State's Conclusions of Law as follows:

- 15. By virtue of the foregoing, Respondent has committed a violation of Section 12.D of the Act.
- 16. By virtue of the foregoing, Respondent's registration is subject to suspension or revocation pursuant to Sections 8.E.1(g) and (o) of the Act.
- 17. By virtue of the foregoing, Respondent is subject to a fine, an order of censure, and an order that suspends or revokes her registration as a salesperson in the State of Illinois pursuant to Sections 8 and 11 of the Act.

NOW THEREFORE IT IS HEREBY ORDERED THAT:

- 18. The allegations contained in Paragraphs VII and VIII of the Stipulation shall be and are hereby adopted as the Secretary of State's Findings of Fact and Conclusions of Law.
- 19. Respondent, Dawn S. Hines, will make a monetary payment in the amount of two hundred dollars (\$200) to the Illinois Secretary of State for deposit in the Securities Audit and Enforcement Fund. The check will, within ten business days of entry of the Consent Order, be mailed to the Illinois Securities Department, 300 W. Jefferson St., Suite 300A, Springfield, Illinois 62702.
- 20. Respondent, Dawn S. Hines, will be Censured.
- 21. Respondent, Dawn S. Hines, will cease and desist from conduct in violation of the Act.
- 22. Respondent, Dawn S. Hines, will comply with the terms and conditions set forth in the agreement with the Department of Revenue.
- 23. The Department will retain jurisdiction over this proceeding for the sole purpose of enforcing the terms and provisions stated herein.

Consent Order

-4-

24. The formal hearing scheduled on this matter is hereby dismissed without further proceeding.

ENTERED: This day of , 2015 proceeding.

Besse White Secretary of State State of Illinois

Attorney for the Secretary of State:

Shannon Bond Illinois Securities Department 300 W. Jefferson St., Suite 300A Springfield, Illinois 62702

Telephone: (217) 524-0648